Practitioner's Docket No. MI40-399

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: Ji Ung Lee et al.

Application No.: 10/072,415

Group No.: 2825

Filed: 02/05/2002

Examiner: V. Yevsikov

For: Field Effect Transistor Fabrication Methods, Field Emission Device Fabrication

Methods, and Field Emission Device Operational Methods

ATTENTION: Refund Section, Accounting Division, Office of Finance **Assistant Commissioner for Patents** P.O. Box 1450 Alexandria VA 22313-1450

REQUEST FOR REFUND (37 C.F.R. 1.28(a))

REFUND REQUEST

This request for refund is made for overpayment of filing fees in connection with the adding of new claims in this application. The Office charged deposit account no 23-0925 for new claims added in the amount of \$2,154.00 on December 2, 2003, We are requesting a refund in the amount of \$2,154.00.

CERTIFICATE OF MAILING/TRANSMISSION (37 C.F.R. section 1.8(a))

I hereby certify that, on the date shown below, this correspondence is being:

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deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to the Assistant Commissioner for Patents. Washington, D.C. 20231.

S:\M\30\068\RR1.wpd

ignature

Natalie King (type or print name of person certifying)

(Request for Refund-page 1 of 2)

II. FEES PAID FOR WHICH AMOUNT OF REFUND REQUESTED

On February 5, 2002 we filed this application with 38 total claims pending including 8 independent claims (see attached page 10 of preliminary amendment. In particular, by preliminary amendment, claims 1-73 were canceled and claims 74-111 were added. We paid fees for these claims per check no. 133904 in the amount of \$1,988.00(copy of check and fee transmittal attached).

On December 15, 2004 the Office mailed a Non-Final Office Action including an Office Action Summary. In said Summary, in the "Disposition of Claims" section it is stated that the pending claims are 74-111 (copy of Office Action Summary attached).

On April 15, 2005, we filed a Response to the December 15, 2004 Office Action. In this amendment we added 4 new dependent claims, bringing the total pending claims to 42. We paid fees for these claims per check no. 146229 in the amount of \$320.00 (copy of check and fee transmittal attached).

The Office charged deposit account no. 23-0925 for pending claims in the amount of \$2,154.00 on December 2, 2003. At that time all fees had been paid for as evidenced by the supporting documentation provided with this Request for Refund.

III. FEES FOR WHICH AMOUNT OF REFUND REQUESTED

Total Refund Requested \$2,154.00

Please make refund by crediting Account No. 23-0925.

Date: 5/26/05

James D. Shaurette Registration No. 39,833 Wells St John P.S. 601 W. First Ave., #1300 Spokane, WA 99201 509-624-4276 Customer No. 021567

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(Request for Refund--page 2 of 2)



UNITED STATES PALENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE.
United States Palent and Trademark Office
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ANNICATION NO		ILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
10/072,415		02/05/2002	Ji Ung Lee	M130-068	5182
,	2600	12/15/2004		EXAM	INER
21567 7590 12/15/2004 WELLS ST. JOHN P.S.				YEVSIKOV.	VICTOR V
601 W. FIRS	T AVEN	IUE, SUITE 1300		ART UNIT	PAPER NUMBER
SPOKANE,	WA 99	201		2325	
				DATE MAIL PD: 12/15/200	4

DATE MAILED: 12/13/2004

Please find below and/or attached an Office communication concerning this application or proceeding.

	Application No.	Applicant(s)						
	10/072,415	LEE ET AL.	t					
Office Action Summary	Examiner	Art Unit	W					
	Victor V Yevsikov	2825	1 4					
The MAILING DATE of this communication appears on the cover sheet with the correspondence address Period for Reply								
A SHORTENED STATUTORY PERIOD FOR REF THE MAILING DATE OF THIS COMMUNICATION - Extensions of time may be available under the provisions of 37 CFR after SIX (8) MONTHS from the mailing date of this communication. - If the period for reply specified above is less than thirty (30) days, and - If NO period for reply is specified above, the maximum sletutory period for reply within the set or extended period for reply will, by state - Fallure to reply within the set or extended period for reply will, by state - Any reply received by the Office later than three months after the maximum adjustment. See 37 CFR 1.704(b).	N. 1.136(a). In no event, however, may a repty be apply within the statutory minimum of thirty (30) and will expire StX (6) MONTHS for the cause the application to become ABANDO	days will be considered time rom the mailing date of this DNED (35 U.S.C. § 133).	ely. communication.					
Status								
1) Responsive to communication(s) filed on 05	February 2002.							
2a)☐ This action is FINAL. 2b)☑ T	his action is non-final.							
3) Since this application is in condition for allow	vance except for formal matters,	prosecution as to the	ne merits is					
closed in accordance with the practice unde	er Ex parte Quayle, 1935 C.D. 11	, 453 O.G. 213.						
Disposition of Claims								
4) Claim(s) 74-111 is/are pending in the application of the above claim(s) is/are without the application of the applic	Irawn from consideration.							
5) Claim(s) 79-82,93-95 and 102-111 is/are all			CA.					
6)⊠ Claim(s) <u>74-76,78,83-85,88-92 and 97-101</u> 7)⊠ Claim(s) <u>77,86,87 and 96</u> is/are objected to		• •	; t ; -					
8) Claim(s) ry, bo, by and so is an objected to an								
Application Papers	ino-							
9) The specification is objected to by the Exam 10) The drawing(s) filed on <u>05 February 2002</u> is		cted to by the Exer	niner.					
Applicant may not request that any objection to								
Replacement drawing sheet(s) including the cor								
11) The oath or declaration is objected to by the								
Priority under 35 U.S.C. § 119	ien nejodky undoe 25 U.S.A. 5 44	Q(a)_(d) or (f)						
12) Acknowledgment is made of a claim for fore a) All b) Some * c) None of:	ign prionty under 35 U.S.C. § 11	ə(a)-(u) UI (I).						
a) All b) Some c) None of. 1. Certified copies of the priority docum	ents have been received							
2. Certified copies of the priority docum		cation No.						
3. Copies of the certified copies of the promises of the promise o	priority documents have been rec	elved in this Nation	al Stage					
application from the International But								
* See the attached detailed Office action for a	•	alved.						
Attachment(s)		•						
1) Notice of References Cited (PTO-892)	4) Interview Sum:	nary (PTO-413) all Date						
2) Notice of Draftsperson's Patent Drawing Review (PTO-948) 3) Information Disclosure Statement(s) (PTO-1449 or PTO/SB Paper No(s)/Mail Date 02/05/02.	m	mal Patent Application (F	PTO-152)					
								

Approved to. through 07/31/2006, OMB 0651-0032
U.S. Patent and Tredemark Office; U.S. DEPARTMENT OF COMMERCE

Streether on 12	2002004				Complete	if Known		
Effective on 12/08/2004. Fees pursuant to the Consolidated Appropriations Act, 2005 (H.R. 4818).			Application Numb		10/072,41			
FEE TRAN	ISMITTAI	L ⊦	Filing Date	-	Feb. 5, 20	,	 	
For FY 2005			First Named Inve	nior	Ji Lee et a		-	
FULL 1 2003			Examiner Name	1104	 			
Applicant claims small entity s	datus. See 37 CFR 1.27		Art Unit		V. yevsiko			
TOTAL AMOUNT OF PAYMENT	(\$) 320.00	}		<u> </u>	2891 MI30-068			———
	TOTAL AMOUNT OF PAYMENT (5) 320.00 Attorney Docket No. MI30-068							
METHOD OF PAYMENT (cher	ck all that apply)			<u></u>				
Check Credit Card	Check Credit Card Money Order None Other (please identify):							
Deposit Account Deposit A	ccount Number 23-0925		Deposit Acc	ount N	me: Wells	St. John,	<u>P.S.</u>	{
For the above-identified dep	posit account, the Olrector	is here	eby authorized to:	(check	all that app	oly)		į
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Charge any additional under 37 CFR 1.16 a WARNING: Information on this form information and authorization on PTO	ray become public. Credit c		السا السا	•			le credit car	d
FEE CALCULATION								
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Application Type Fee	(\$) Foo (\$)	Fee (\$)	Foe (\$)	Fee			Fees Pal	<u>a (₹)</u>
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Design 200		100	50 ·	13		-		
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Provisional 200 100 2. EXCESS CLAIM FEES Fee Description Each claim over 20 (including Reissues) Ench independent claim over 3 (including Reissues) Multiple dependent claims Total Claims Extra Claims Fee (5) Fee Paid (5) Multiple Dependent Claims 42 -20 or HP = 4 × 50.00 = \$200.00 Fee (5) Fee Paid (5) Multiple Dependent Claims Fee (5) Fee Paid (5) Fee Paid (5) Fee Paid (5)								
HP = highest number of total dalms paid for, if greater than 20, indep. Claims								
3. APPLICATION SIZE FEE If the specification and drawings exceed 100 sheets of paper (excluding electronically filed sequence or computer listings under 37 CFR 1.52(e)), the application size fee due is \$250 (\$125 for small entity) for each additional 50 sheets or fraction thereof. See 35 U.S.C. 41(a)(1)(G) and 37 CFR 1.16(s). Total Sheets Extra Sheets Number of each additional 50 or fraction thereof Fee (\$) Fee Paid (\$) - 100 =								
- 100 = /50 = (round up to a whole number) x = 4. OTHER FEE(S) Non-English Specification, \$130 fee (no small entity discount)								
Other (c.g., late filing surch	Other (e.g., late filing surcharge): Request for Extension of Time (1 mo.) \$120,00							
SUBMITTED BY						1		
Registration No. 39,833 Tolephone 509.624,4276					76			
Name (Print/Type) Jantes D. Shaure			To swarring live all missil				1509	

This collection of information is required by 37 CFR 1.136. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 30 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademerk Office. U.S. Department of Commerce, P.O. Box 1450. Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Application Serial No	Filed herewith
Filing Date	Filed herewith
inventor	Ji Ung Lee et al.
Assignee	Micron Lechnology, Inc.
Group Art Unit	
Fyaminer	
Attorney's Docket No	
Title: "Field Effect Transistor Fabrication	Methods, Field Emission Device Fabrication
Methods, and Field Emission Dev	ce Operational Methods"

PRELIMINARY AMENDMENT

To:

Box Patent Application

Assistant Commissioner for Patents

Washington, D.C. 20231

EL844504097

From:

James D. Shaurette (Tel. 509-624-4276; Fax 509-838-3424)

Wells, St. John, Roberts, Gregory & Matkin P.S.

601 W. First Avenue, Suite 1300 Spokane, WA 99201-3828

Sir:

Please enter the following amendments prior to examining the above-identified application:

AMENDMENTS

In the Title:

Please replace the title with the following: -FIELD EFFECT TRANSISTOR FABRICATION METHODS, FIELD EMISSION DEVICE FABRICATION METHODS, AND FIELD EMISSION DEVICE OPERATIONAL METHODS—.

REMARKS

This application is a continuation application of U.S. Patent Application Serial No. 09/260,231, filed on March 1, 1999. Claims 1-73 have been canceled without prejudice. Claims 74-111 are pending in the application, and Applicants request examination of such pending claims.

The Examiner is requested to phone the undersigned if the Examiner believes such would facilitate prosecution of the present application. The undersigned is available for telephone consultation at any time during normal business hours (Pacific Time Zone).

Respectfully submitted,

Datad:

Bv

James D. Shaurette

Reg. No. 39,833

PTO/SB/17 (10-01)

Liedor the Programmer Reduction Act of 1	995. no nersons are recuir	. U.S. Patent and Tra	pproved for use through 10/31/2002, OMB or demark Office; U.S. DEPARTMENT OF CON- mation unless it displays a valid OMB control	MMERCE
		1	mplete if Known	
FEE TRAN	SMILIA	Application Number	filed herewith	
for TV	2002	Filing Date	filed herewith	
for FY	2002	First Named Inventor	Ji Ung Lee et al.	
Parent fass are subject	lo annual revision.	Examiner Name	Unknown	·····
7 8 2 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1		Group Art Unit	Unknown	
TOTAL AMOUNT OF PAYMENT	(\$) 1,988.00	Attorney Docket No.	MI 30-068	
METHOD OF PAYN	ENT	FEE CA	LCULATION (continued)	
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METHOD OF PAYMENT	FEE CALCULATION (continued)	
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(Valing house)	127 50 227 25 Surcharge - late provisional filing fee or	
Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17	cover sheet	
Applicant claims small entity status.	139 130 139 130 Non-English specification	
See 37 CFR 1 27	147 2,520 147 2,520 For filing a request for ex parte reexamination	
2. X Payment Enclosed: Check Credit card Money Other	112 920° 112 920° Requesting publication of SIR prior to	
X Check Credit card Order Other	113 1.840° 113 1.840° Requesting publication of SIR after	
FEE CALCULATION	Examiner action	
1. BASIC FILING FEE	115 110 215 55 Extension for raply within first month	
Large Entity Small Entity	116 400 216 200 Extension for raply within second month	
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101 740 201 370 Utility filing fee 740.0	118 1,440 218 720 Extension for reply within fourth month	
106 330 206 165 Design filing fee	128 1,960 228 980 Extension for reply within fifth month	
107 510 207 255 Plant filing fee	119 320 219 160 Notice of Appeal	
108 740 208 370 Reissue filing fee	120 320 220 160 Filing a brief in support of an appeal	
114 160 214 80 Provisional filing fea	121 280 221 140 Request for oral hearing	
SUBTOTAL (1) (\$) 740.00	138 1,510 138 1,510 Pelition to institute a public use proceeding	
	140 110 240 S5 Petition to revive - unavoidable	
2. EXTRA CLAIM FEES	141 1,280 241 840 Petition to revive - unintentional	
Extra Claims below Fee Paid	142 1,280 242 640 Utility issue (ee (or reissue) 143 460 243 230 Design issue (ee	
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Claims	144 820 244 310 Plant issue tee 122 130 122 130 Politions to the Commissioner	
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103 18 203 9 Claims in excess of 20 102 84 202 42 Independent claims in excess of 3	145 740 246 370 Filing a submission after final rejection (37 CFR § 1.129(a))	
104 280 204 140 Multiple dependent claim, if not paid	149 740 249 370 For each additional invention to be	
109 84 209 42 ** Reissue independent claims over original patent	examined (37 CFR § 1.129(b))	
110 18 210 9 "Reissue daims in excess of 20	179 740 279 370 Request for Continued Examination (RCE)	
and over original patent	169 . 900 169 900 Request for expedited examination of a design application	
SUBTOTAL (2) (\$) 1,248.0	Other fee (specify)	
SUBTOTAL (2) (4) 1,248.0	(\$)	
**or number previously paid, if greater, For Reissues, see above	*Reduced by Basic Filing Fee Paid SUBTOTAL (3)	

SUBMITTED BY			Complete (#	(applicable)
Name (PrinVType)	James D. Shaurette	Registration No. 39,833	Telephone	509-624-4276
Signature	A Q D A	- Contraction of the Contraction	Date	2/5/02
C.A.IDIO.A				-

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eposit Account Statement





Deposit Account Statement

Requested Statement Month:

December 2003

Deposit Account Number:

230925

Name:

WELLS ST JOHN PS

Attention:

RHONDA RAMBO

Address:

601 WEST FIRST AVENUE SUITE 1300

City:

SPOKANE

State:

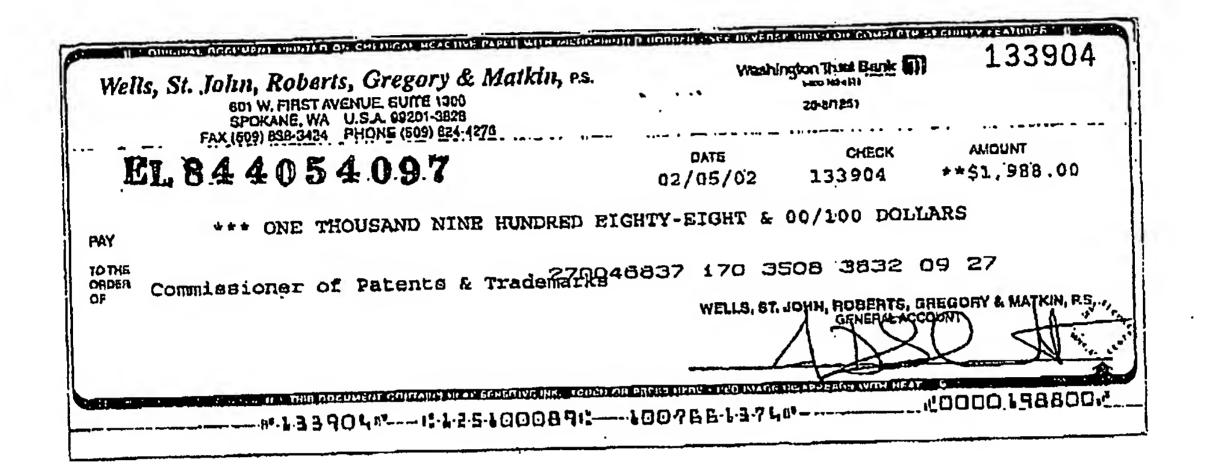
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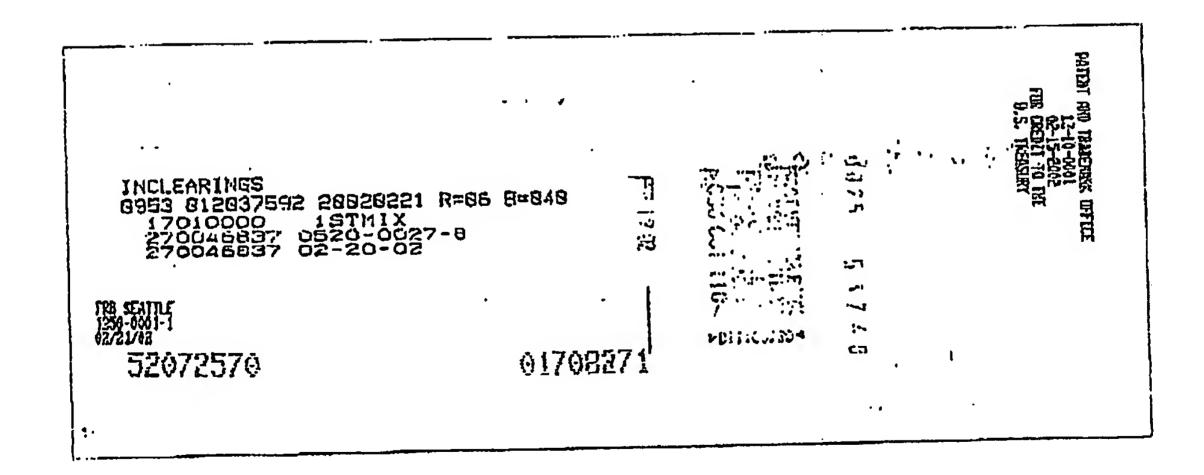
99201-3817

DATE SE	Q POSTING REF TXT	ATTORNEY DOCKET NBR	FEE CODE	AMT	BAL
12/01 80	107202314058	- H0004345(4016)	1001	\$770.00	\$9,729.00
12/01 81	10720231 108	H0004345(4016)	1202	\$342.00	\$9,387.00
12/02 2			1202	\$1,314.00	\$8,073.00
12/02 3	10072415	nI31-068	1201	\$840.00	\$7,233.00
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12/04 12		V122-102	7001	\$335.00	\$12,323.00
12/05 17		PO4-1234	7001	\$335.00	\$11,988.00
12/05 17		4057-221	9204	-\$750.00	\$12,738.00
12/08 12		MI22-1299	1806	-\$180.00	\$12,918.00
12/08 16		MI22-2224	1202	-\$630.00	\$13,548.00
12/09 11		WA40-102	7001	\$335.00	\$13,213.00
12/10 20		7 GR61-012	1707	\$230.00	\$12,983.00
12/10 20		7 GR61-012	8007	\$20.00	\$12,963.00
12/11 9	1255923	TE2-139	7205	\$100.00	\$12,863.00
12/11 10		TE2-139	7201	\$400.00	\$12,463.00
12/11 11		TE2-139	7206	\$100.00	\$12,363.00
12/11 12		TE2-139	7203	\$100.00	\$12,263.00
12/11 10		CY2-197	7004	\$450.00	\$11,813.00
12/15 17		M122-1559	1806	-\$180.00	\$11,993.00
12/16 1	PCT/US03/3273	o wayo -uzg	1703	\$24.00	\$11,969.00
12/16 4	09524804	MI40-285	1201	-\$774.00	\$12,743.00
12/18 36	SUBSCRIPTION	1	8001	\$3.00	\$12,740.00
12/18 22		UL4-004	2801	\$385.00	\$12,355.00
12/19 1	10243156	MI22-2113	1202	\$450.00	\$11,905.00
12/19 2	10243156	MI22-2113	1251	\$110.00	\$11,795.00
12/22 4		- H0001109(401	1202	\$54.00	\$11,741.00
12/22 5	10344772 355	H0001109(401	1201	\$168.00	\$11,573.00
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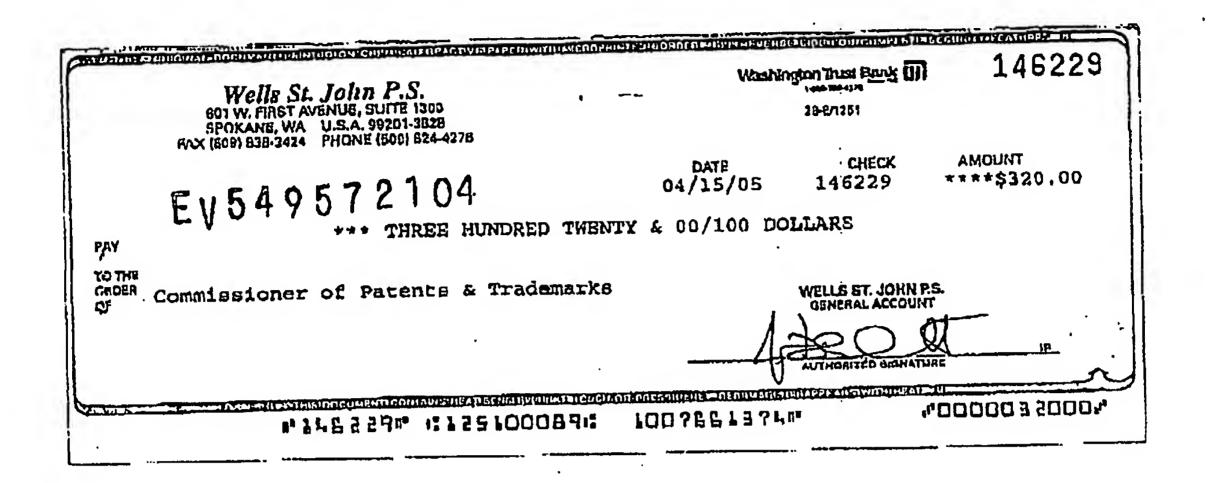
Page 1



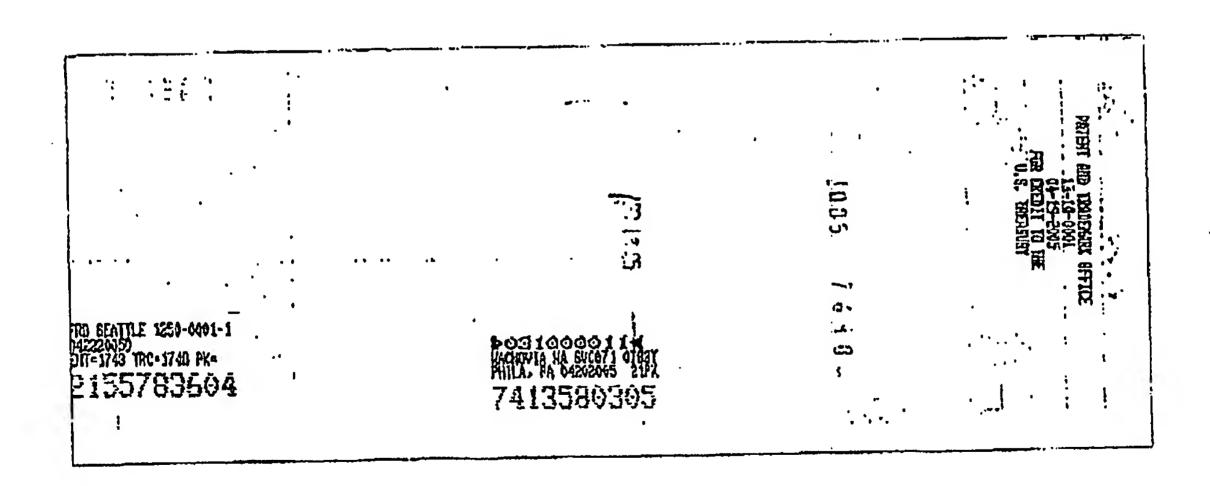
Tracer: 12037592 - Amt: \$1,988.00 - 02/21/2002



Tracer: 12037592 - Amt: \$1,988.00 - 02/21/2002



Tracer: 11002154 - Amt: \$320.00 - 04/22/2005



Tracer: 11002154 - Amt: \$320.00 - 04/22/2005



601 W. 1st Avenue, Suite 1300 Spokane, WA 99201-3828 (509) 624-4276 FAX (509) 838-3424 www.wellsstjohn.com PATENTS # TRADEMARKS # COPYRIGHTS

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Received Cover Page

Application Serial No	.00 et 8). logy, inc.
Tiling Date	.00 et 8). logy, inc.
Assigned	ogy, Inc.
Assignee	OUT, IIIL
Examiner	2023
Attorney's Docket No	Vaveikov
Yita: Field Effect Transistor Febrication Methods, Field Emission Device Fe	4130-068
Methods, and Field Emission Device Operational Methods	bdcation
ING(1008, 410 4 100 C)	
Refund Section,	
Accounting Division, Office of Finance	
Assistant Commissioner for Patents	
P.O. Box 1480	
Alexandria VA 22313-1450	
CERTIFICATE OF FACSIMILE TRANSMISSION UNDER 37 CFR 1.8	U-
I hereby certify that the following papers are being faceimile transithe Patent and Trademark Office at (703) 872-9308 on the date showing	mitled to 1 below:
1. Request for Refund	
 Transmittal Form (PTO/SB/21) Copies of 04/15/2005 and 2/05/2002 fee transmittals 	
 Copies of 04/15/2005 and 2/05/2002 fee transmitters Copy of Check no. 133904 in the amount of \$1,988 	.00
5. Conv of Check no. 146220 in the amount of \$320.0	0
6. Copy of Office Action Summary mailed 12/15/2004	
7. Copy of December 2003 Deposit Account Statement	·
Dated: 5/27/0:5 By:	
Dated: By: Notate King	
Telephone No. (509)	624-4278
Facsimile No. (\$19)	838-3424
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NUMBER OF PAGES IN FACSIMILE: 13	

PAGE VIDE RESPONDE DESCRIP PROPERTY PROPERTY PROPERTY PROPERTY DESCRIPTION OF THE PROPERTY OF

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Application Serial No.	10/072,415
Filing Date	February 5, 2002
Inventor	JI ONY LEE EL AL.
Assignee	Micron Technology, Inc.
Group Art Unit	2825
Examiner	V. Yevsikov
Attorney's Docket No.	MI30-068
Title: Field Effect Transistor Fabrication Method Methods, and Field Emission Device Opera	is, Field Emission Device Fabrication

Refund Section,
Accounting Division, Office of Finance
Assistant Commissioner for Patents
P.O. Box 1450
Alexandria VA 22313-1450



CERTIFICATE OF FACSIMILE TRANSMISSION UNDER 37 CFR 1.8

I hereby certify that the following papers are being facsimile transmitted to the Patent and Trademark Office at (703) 872-9306 on the date shown below:

1. Request for Refund

2. Transmittal Form (PTO/SB/21)

- 3. Copies of 04/15/2005 and 2/05/2002 fee transmittals
- 4. Copy of Check no. 133904 in the amount of \$1,988.00
- 5. Copy of Check no. 146229 in the amount of \$320.00
- 6. Copy of Office Action Summary mailed 12/15/2004
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Dated: 5/27/05

By: Natalie King

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Under the Pacerwork Reduction Act of 1995 no	Application Number	n of information unless it displays a valid OMB pontrol number.
TRANSMITTAL	Filing Date	Feb. 5, 2002
FORM	First Named Inventor	Ji Ung Lee et Bl.
	Actinit	2825
(to be used for all correspondence after initial filir	Examiner Name	V. Yevsikov
	Attorney Docket Number	
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	ENCLOSURES (Check all the	t apply)
- Section (-)	Drawing(s) Licensing-related Papers Petition Petition to Convert to a Provisional Application Power of Attorney, Revocation Change of Correspondence Addi Terminal Disclaimer Request for Refund CD, Number of CD(s) Remarks Additoinal Enclosures: Copy of Check Nos. 133904 & 146229; Corp page 10 of Preliminary Amendment file	Copies of Fee Transmittals Filed 4/15/2005 & 2/5/2002; Copy of Office Action Summary mailed12/15/2004; Copy
	URE OF APPLICANT, ATTORN	VEV OR AGENT
Firm or Individual Signature James D. Shaurette, Reg. I Wells St. John, P.S.		
3) (8) 0 9		NACAN INC
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pplication Serial No F	iled herewith
ling Date F	iled herewith
ventor	Ing Lee et al.
ssignee Micron Tec	hnology, Inc.
roup Art Unit	
xaminer	Unknown
ttorney's Docket No	MI30-068
tle: "Field Effect Transistor Fabrication Methods, Field Emission Device f	abrication
Methods, and Field Emission Device Operational Methods"	

PRELIMINARY AMENDMENT

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Box Patent Application

Assistant Commissioner for Patents

Washington, D.C. 20231

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From:

James D. Shaurette (Tel. 509-624-4276; Fax 509-838-3424)

Wells, St. John, Roberts, Gregory & Matkin P.S.

601 W. First Avenue, Suite 1300 Spokane, WA 99201-3828

Sir:

Please enter the following amendments prior to examining the above-identified application:

AMENDMENTS

In the Title:

Please replace the title with the following: -FIELD EFFECT TRANSISTOR FABRICATION METHODS, FIELD EMISSION DEVICE FABRICATION METHODS, AND FIELD EMISSION DEVICE OPERATIONAL METHODS-.

Adjustment Date: 05/05/2006 SDIRETA1 2/02/2003 TBELL1 00000002 230925 10072415 1 FC:1202 1314.00 CR 840.00 CR

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